

LOCAL FEDERAL AID PROGRAMS

This document presents the policy and procedure for the following four (4) programs:

1. Group III;
2. Group IV;
3. Local Bridge; and
4. Transportation Enhancement.

MISSION

The mission of the Indiana Department of Transportation is to plan, build, operate and maintain a superior transportation system enhancing safety, mobility and economic growth.

The department recognizes that a superior transportation system is not limited to roads under its jurisdiction, but includes those under the jurisdiction of cities, counties, and towns.

ACRONYMS

AADT—Average annual daily traffic (vehicles per day)
FHWA—Federal Highway Administration
INDOT—Indiana Department of Transportation
LPAs—Local Public Agencies (cities, counties, and towns)
MPOs—Metropolitan Planning Organizations
SPMS—Scheduling and Project Management System

PROGRAM FUND MANAGER

The Manager of the Local Federal Aid Office is the Program Fund Manager for the Group III, Group IV, Local Bridge, and Transportation Enhancement programs.

SELECTION COMMITTEE

The INDOT selection committee consists of the following voting members:

1. Director of the Local Programs Division (Chair)
2. Manager of the Local Federal Aid Office
3. Crawfordsville District representative
4. Fort Wayne District representative
5. Greenfield District representative
6. LaPorte District representative
7. Seymour District representative
8. Vincennes District representative

Each district deputy commissioner shall designate, in writing, who the district's voting member will be for each meeting.

A Federal Highway Administration representative will be a non-voting member of the committee.

The Chair will appoint an INDOT employee to be the secretary for the committee. The secretary will be a non-voting member of the committee.

RULES OF ORDER

All meetings of the committee shall be conducted in accordance with Robert's Rules of Order, 10th edition. If there is a conflict between this document and Robert's Rules of Order, this document shall control.

QUORUM

A quorum is a majority of the voting members.

VOTING

Five votes are required for approval of an action, except for the election of a Vice Chair which requires approval of a majority of those present.

OFFICERS

The officers of the committee are the Chair, a Vice Chair, and a Secretary. The Vice Chair shall be elected from the voting members. The Vice Chair shall serve a term of one (1) year.

MEETINGS

Meetings of the Selection Committee shall be called by the Chair. Notice of the time, place, and purpose (agenda) of the meeting shall be mailed to all members at least 21 calendar days in advance of the meeting. Notice of the meeting must also be given in accordance with state law. All meetings will be open to the public.

Generally, the Chair will set the date for a selection meeting when a "Call for Projects" is issued or shortly thereafter.

SCHEDULE

The following is a tentative schedule of "Calls for Projects."

<u>Program</u>	<u>"Call" Issued</u>	<u>Applications Due</u>	<u>Announce Awards</u>
Enhancement	2/28/07	4/14/07	10/15/07

Group III	9/24/07	11/21/07	1/29/08
Local Bridge*	12/21/07	2/21/08	4/29/08
Group IV	3/21/08	5/21/08	7/29/08
Enhancement	6/20/08	8/21/08	10/29/08

*Bridge inspections can be applied for at any time; they do not need to wait for a “Call for Projects.”

ELIGIBLE APPLICANTS

Group III—Eligible applicants are cities and towns (1) with a population greater than or equal to 5,000 but less than 50,000 and (2) which are located outside the urbanized area of Metropolitan Planning Organizations (MPOs). See Appendix A for a list of eligible cities and towns.

Group IV—Eligible applicants are (1) counties and (2) towns with a population less than 5,000 which are located outside the urbanized area of MPOs.

Local Bridge—Eligible applicants are those owners (generally, counties) of any public bridge, but excluding the Indiana Department of Transportation.

Transportation Enhancement—Eligible applicants are all cities, counties, and towns.

The latest decennial census data, published by the U.S. Census Bureau will be used to determine the population and eligibility of cities and towns.

INVENTORY OF PROJECTS

The Local Federal Aid Office will post on its website an inventory of projects in each of the following programs: Group III, Group IV, Local Bridge, and Transportation Enhancement. The list will show the following information for each project:

1. Sponsor
2. Project description
3. Des. No.
4. Current cost estimate
5. Current federal funds allocated
6. Ready for contracts date

The inventory will be updated at least quarterly—before each “Call for Projects.”

APPLICATION PROCEDURE

The Local Federal Aid Office will send out the “Call for Projects.” The “Call for Projects” will contain the approximate amount of federal funds to be awarded and the year(s) in which the funds will be available. The application, in addition to the “Call for Projects,” will be posted on INDOT’s website.

An applicant may submit a maximum of one (1) new application for each of the Group III, Group IV, and Transportation Enhancement programs, in addition to applications requesting an increase for existing projects. The maximum award to any applicant for the Group III or Group IV programs is \$3,000,000 in federal funds or the total amount available in its district, whichever is less. The maximum award for any project (new or existing) in the Transportation Enhancement program is \$1,000,000 in federal funds for any project (new or increase for existing). An applicant may submit multiple applications (new and existing) for the Local Bridge program.

Each applicant shall score its project (new and existing), using the published scoring criteria. Each applicant shall electronically submit its project application, score sheet, and supporting documentation (maximum of 8 pages) to the e-mail address shown in the “Call for Projects.” INDOT will verify or revise the score of each project.

Applications from LPAs which owe INDOT money which is more than 45 days past due will not be considered. LPAs may contact the appropriate INDOT District Deputy Commissioner to discuss their past due accounts. See Appendix D for the list of INDOT District Deputy Commissioners. LPAs that resolve their past due accounts will be eligible for award.

SITE VISIT

At least weekly the Local Federal Aid Office will send all applications received to each of the designated district representatives. Each district shall conduct a site visit of each proposed project in its district before the selection committee meeting. At least one (1) of the district bridge inspectors shall conduct a site visit of the proposed bridge projects in its district.

PROJECT SELECTION

Each District Deputy Commissioner or designated representative shall convene a meeting to receive comments from eligible LPAs within the district. Notice of such meetings must be given in accordance with state law. All meetings will be open to the public. After the meeting, each INDOT District will develop its preliminary list of projects to be awarded federal funds in its district. Thereafter the INDOT Selection Committee will meet to develop the final list of projects to be awarded federal funds.

APPEALS

An applicant not receiving approval of its application may appeal the decision to INDOT’s Chief of Staff. The appeal process is described below.

1. The applicant must send, by certified mail, an appeal within 15 calendar days after receiving notification of INDOT's decision. The appeal should be mailed to:

Mr. Gilbert Viets
Chief of Staff
Indiana Department of Transportation
100 North Senate Avenue, Room N758
Indianapolis, IN 46204

2. INDOT will conduct a preliminary review within 15 business days and, if necessary, request by certified mail additional information from the applicant.
3. INDOT will allow 15 business days for receipt of additional information.
4. The Chief of Staff will make a decision within 15 business days from receipt of the appeal, or within 15 days after receipt of additional information, if applicable.
5. The applicant may appeal INDOT's final decision in accordance with Indiana Code 4-21.5-3.

SIGN CONTRACT

After an LPA is notified that it has been awarded federal funds for a project, INDOT will prepare and send a contract to the LPA for signature. **The contract will specify the maximum amount of federal funds which are available for the project and the LPA's window of opportunity for the award of the construction contract for the project. Any increase in the maximum amount of federal funds must be approved through the "Call for Projects" process; if approved, the contract will be amended.** The LPA is to sign and return (as soon as practicable, but not later than three (3) months) the contract to INDOT.

ON/OFF SYSTEM

"On System" refers to those roads described below:

- (1) all arterials (rural or urban);
- (2) all urban collectors; and
- (3) all rural major collectors.

"Off System" refers to those roads described below:

- (1) all rural minor collectors; and
- (2) all local roads (rural or urban).

BRIDGE PROGRAM

Pursuant to federal requirements, each of the following activities is eligible:

1. Bridge inspection.
2. Bridge replacement, provided (1) the sufficiency rating is less than or equal to 50 and (2) the bridge is on the FHWA's list of eligible bridges.* Removal of the existing bridge is an eligible expense of the project.
3. Bridge rehabilitation, provided (1) the sufficiency rating is less than or equal to 80 and (2) the bridge is on FHWA's list of eligible bridges.*
4. Bridge removals, provided the existing bridge is on FHWA's list of eligible bridges.*
5. Replacement of "low water crossings." "Low water crossings" are those crossings, other than bridges, where improvements have been made in the stream, river, or lake-bed to provide a firm surface for vehicles to travel across the watercourse. The crossings are designed and constructed to be passable to traffic most of the year during periods of ordinary stream flow but are impassable to traffic during periods of high water.

*INDOT will post FHWA's list of eligible bridges on INDOT's website. FHWA's list will only include bridges in the National Bridge Inventory database that are either structurally deficient or functionally obsolete.

New bridges are not eligible projects. Bridges located within the urbanized area of an MPO are not eligible for selection. Bridges which were located outside the urbanized area of an MPO when selected are "grandfathered" and, will continue to be eligible for funds.

The intent of the program is to improve deficient bridges. The eligible approach roadway work on bridge projects is limited to that necessary to render the replaced or rehabilitated bridge serviceable. Using bridge funds for an entire road project, which includes an eligible bridge, will not be allowed.

Pursuant to federal requirements, at least 15% of the program's funds are to be spent for "off system" bridges. The "off system" bridges shall be ranked, using Appendix B, from the highest score to the lowest score. Projects will be considered beginning with the highest score and proceed down the list until 15% of the available local bridge funds are allocated. Thereafter, the "on system" and "off system" bridges will be combined into one pool and ranked, using Appendix B, from the highest to lowest score. Projects will be considered beginning with the highest score and proceed down the list until the remainder of the available funds are allocated. The INDOT selection committee may consider other factors (for example, past performance of the LPA and the number of other projects and federal funds awarded to the LPA) when making its final list of projects to be awarded federal funds.

“Replacement” of a bridge is conditional until there is an approved environmental document for the project, because it may be necessary to rehabilitate the bridge to satisfy the environmental conditions.

In order to switch a project originally selected for “bridge rehabilitation” to a “bridge replacement” within the Local Bridge Program, the bridge must meet the criteria listed above for “bridge replacement.”

GROUP III PROGRAM

Road projects that are “on system” within the corporate limits of an eligible Group III city or town are eligible for funds from this program.

INDOT will distribute the available federal funds based upon the population of eligible Group IIIs within a district compared to the total population of all eligible Group IIIs within Indiana. INDOT’s goal is that each eligible city or town receives its proportionate share of the federal funds, provided the city or town has the funds available to match the federal money.

GROUP IV PROGRAM

Road or bridge projects that are “on system” that are the jurisdiction of an eligible Group IV county or town are eligible for funds from this program.

INDOT will distribute the available federal funds based upon the population of eligible Group IVs within a district compared to the total population of all Group IVs within Indiana.

TRANSPORTATION ENHANCEMENT PROGRAM

The following activities, if related to surface transportation, are eligible for funds from this program:

1. provision of facilities for pedestrians and bicycles;
2. provision of safety and educational activities for pedestrians and bicyclists;
3. acquisition of scenic easements and scenic or historic sites;
4. scenic or historic highway programs (including the provision of tourist and welcome center facilities);
5. landscaping and other historic beautification;
6. historic preservation;
7. rehabilitation and operation of historic transportation buildings, structures or facilities (including historic railroad facilities and canals);
8. preservation of abandoned railway corridors (including the conversion and use thereof for pedestrian and bicycle trails);
9. control and removal of outdoor advertising;

10. archaeological planning and research;
11. environmental mitigation to address water pollution due to highway runoff or reduce vehicle-caused wildlife mortality while maintaining habitat connectivity; and
12. establishment of transportation museums.

CONSULTANT SELECTION

In order for consultant fees to be eligible for federal participation or credit, the LPA must make such consultant selection in accordance with the procedure approved by INDOT.

ENVIRONMENTAL DOCUMENT

An environmental document is required for each project. The environmental document must be in accordance with INDOT's Environmental Manual.

DESIGN

The design of road and bridge projects must be in accordance with INDOT's Design Manual. The manual does provide a mechanism for the LPA to request a "design exception."

LAND ACQUISITION

If federal funds are used for any phase (preliminary engineering, right-of-way, or construction) of a project, all real estate must be procured (regardless if procured by purchase, donation, or through eminent domain) in accordance with all federal and state laws, regulations, and rules.

EXISTING PROJECTS

If an LPA owes INDOT money which is more than 45 days past due, INDOT will not advertise its project for bids.

Each federal fiscal year, the Manager of the Local Federal Aid Office will look at the anticipated projects (based upon the "ready for contract" date provided by the project's sponsor) for each program and prioritize the projects. In order for a project to be considered and ranked, the LPA must have the local match for the federal funds. If there are not enough funds available to fund all projects in a program, emergencies will be given first priority. The remainder of the projects in Group III, Group IV, and Transportation Enhancement programs will be placed in Des. No. order from the oldest to newest; the remainder of the bridge projects will be prioritized in accordance with the procedure outlined in the Bridge Program section. This will be a dynamic process throughout the federal fiscal year as new data becomes available.

A city, county, or town may appeal the Local Federal Aid Office Manager's decision, within 15 calendar days after receiving notification of INDOT's decision, in accordance with the following procedure.

Step 1. Send an appeal by e-mail to Mr. Richard C. Whitney at rwhitney@indot.in.gov.

Step 2. Within five (5) business days after receipt, the Local Federal Aid Office Manager will notify the appellant of his decision.

Step 3. If the appellant is not satisfied with the decision in step 2, the appellant must send, within 15 calendar days after receiving notification of INDOT's decision in step 2, an appeal by e-mail to the Director of the Local Programs Division (Mr. John E. Jordan) at jjordan@indot.in.gov. Within ten (10) business days after receipt, the Local Programs Division Director will notify the appellant of his decision.

Step 4. If the appellant is not satisfied with the decision in step 3, the appellant must send, within 15 calendar days after receiving notification of INDOT's decision in step 3, an appeal by e-mail to the Chief of Staff (Mr. Gilbert Viets) at gviets@indot.in.gov. Within 15 business days after receipt, the Chief of Staff will notify the appellant of his decision. This will be the final decision of the department.

It is noted that time is of the essence, and if a department employee does not comply with the deadlines noted above, an appellant may move the appeal to the next step.

LPA REPORTS

The LPA shall submit a quarterly report for each LPA project it has in any of the four programs covered by this procedure. The report is due 21 days after the end of each calendar year quarter. The report shall be on the form designated from time to time by INDOT. The report shall be signed by the consultant, if applicable, and the LPA. The report shall be sent (e-mail or mail) to the appropriate district Local Programs Coordinator. The LPA's failure to provide this report each quarter may result in the award of federal funds being revoked.

SCHEDULE REVISIONS

The INDOT district project manager is responsible for contacting the project sponsor to obtain updates to the schedule and cost for each project. All costs (e.g., survey, environmental, design, geotechnical, land acquisition (property, damages to property, abstracting, right-of-way engineering, appraising, review appraising, buying, relocation services, and legal fees for condemnation), reimbursable utility expenses, construction, and construction inspection) for which the LPA will receive federal funds or credit must be included. The project manager will provide this information to the district employee designated to update the schedules.

If the Ready for Contract date (which is about 3 months before bids are opened) is moving into the future, the district can adjust the schedule and provide the Manager of the Local Federal Aid Office with an informational copy. If it is desired to move the Ready for Contract date closer:

- (1) within the same federal fiscal year, the district can adjust the schedule and provide the Manager of the Local Federal Aid Office with an informational copy; or
- (2) into an earlier federal fiscal year, the project manager must request and obtain the approval of the Manager of the Local Federal Aid Office.

SUSPENSION OF A PROJECT

The Program Fund Manager must approve suspending a project. A project is “suspended” when all work on the project is put on hold for various reasons. The Program Fund Manager must approve removing a project from “suspended” and making it “active.” The status of a “suspended” project must be reviewed at least every six months.

The project manager will provide the Program Fund Manager with written documentation of the reason to suspend a project or to reactivate it. The Program Fund Manager will notify the project manager of the action taken.

TRANSFER OF FUNDS

An LPA may request a transfer of federal funds from one project to a “new” project (a project which has not been previously selected for federal funds). The LPA must submit a written (letter or e-mail) request to the appropriate district Local Programs Coordinator. See Appendix D for a list. The request must include the following information:

1. Des. No. and description of the current project.
2. Description of the project to which the LPA is requesting the allocation be transferred.
3. The reason for the requested transfer.
4. Provide the design year AADT for both projects.
5. If the projects involve bridges, provide the National Bridge Inventory Number and sufficiency rating for each one.
6. The estimated cost of each project.
7. The proposed schedule for the new project.

The district will make a site inspection of both projects and prepare a written report which includes the following information:

1. The district’s evaluation of both projects.
2. Determine whether the new project is eligible for the program funds.
3. The district’s recommendation (approved by the District Deputy Commissioner).

The report shall be sent to the Manager of the Local Federal Aid Office.

If the transfer is approved by the Manager of the Local Federal aid Office, the LPA must repay INDOT all federal money spent on the “old” project. In addition, the LPA’s cost on the “old” project will not be eligible for credit when the “new” project goes to construction.

CANCELLED PROJECTS

A city, county, or town may decide to cancel a project. In such event, the city, county, or town shall notify, in writing or by e-mail, the Local Programs Coordinator in its district and provide the project description and Des. No. The District Local Programs Coordinator shall forward this information to the Manager of the Local Federal Aid Office.

The Manager of the Local Federal Aid Office will contact the Procurement & Project Accounting Division to determine how much federal money, if any, was spent on the project. The city, county, or town must repay INDOT all federal money spent on its cancelled project.

If no federal money was spent on the project the Manager of the Local Federal Aid Office will “eliminate” the project in SPMS (INDOT’s Scheduling & Project Management System). Otherwise, the Manager will inform the District Local Programs Coordinator of the amount to be repaid. The District Local Programs Coordinator will provide this information to the LPA and ask for confirmation that they still desire to cancel the project.

The Local Federal Aid Office will be responsible for initiating the bill to the city, county, or town for the repayment of federal funds on a cancelled project.

REPORTS

Within one (1) month after the end of each quarter (December 31, March 31, June 30, and September 30), the department will publish, on its website, the following information for each program:

1. Local public agency
2. Project description
3. Amount of federal funds obligated for the project

Each list will be compiled on a federal fiscal year (October 1 through September 30) basis and be cumulative. The first report will be for federal fiscal year 2007.

APPENDIX A

<u>City or Town</u>	<u>Population</u>	<u>District*</u>
Brazil	8,188	C
Clinton	5,126	C
Crawfordsville	15,243	C
Frankfort	16,662	C
Greencastle	9,880	C
Lebanon	<u>14,222</u>	<u>C</u>
TOTAL	69,321	6
Angola	7,344	F
Auburn	12,074	F
Bluffton	9,536	F
Columbia City	7,077	F
Decatur	9,528	F
Garrett	5,803	F
Gas City	5,940	F
Hartford City	6,928	F
Huntington	17,450	F
Kendallville	9,616	F
Marion	31,320	F
North Manchester	6,260	F
Nappanee	6,710	F
Peru	12,994	F
Wabash	11,743	F
Warsaw	<u>12,415</u>	<u>F</u>
TOTAL	172,738	16
Connersville	15,411	G
Elwood	9,737	G
Greenfield	14,600	G
New Castle	17,780	G
Portland	6,437	G
Richmond	39,124	G
Rushville	5,995	G
Shelbyville	17,951	G
Tipton	5,251	G
Winchester	<u>5,037</u>	<u>G</u>
TOTAL	137,323	10

<u>City or Town</u>	<u>Population</u>	<u>District*</u>
Logansport	19,684	L
Lowell	7,505	L
Monticello	5,723	L
Plymouth	9,840	L
Rensselaer	5,294	L
Rochester	<u>6,414</u>	<u>L</u>
TOTAL	54,460	6
Batesville	6,033	S
Charlestown	5,993	S
Greensburg	10,260	S
Madison	12,004	S
Martinsville	11,698	S
North Vernon	6,515	S
Salem	6,172	S
Scottsburg	6,040	S
Seymour	<u>18,101</u>	<u>S</u>
TOTAL	82,816	9
Bedford	13,768	V
Huntingburg	5,598	V
Jasper	12,100	V
Linton	5,774	V
Mount Vernon	7,478	V
Princeton	8,175	V
Tell City	7,845	V
Vincennes	18,701	V
Washington	<u>11,380</u>	<u>V</u>
TOTAL	90,819	9
GRAND TOTALS	607,477	56

- C = Crawfordsville
- F = Fort Wayne
- G = Greenfield
- L = La Porte
- S = Seymour
- V = Vincennes

APPENDIX B

LPA BRIDGE PROGRAM SCORING MATRICES

<u>Status</u>	<u>Points</u>
Structurally deficient	50
Functionally obsolete	30
Not deficient	0*

<u>Functional Classification</u>	<u>Points</u>
Arterial	
Major	30
Minor	25
Collector	
Major	15
Minor	10
Local Road	5

Sufficiency Rating

<u>Replacement</u>	<u>Points</u>	<u>Rehabilitation</u>	<u>Points</u>
0—10	20	0—20	20
10—20	17	20—40	17
20—30	14	40—55	14
30—40	9	55—70	9
40—50	4	70—80	4
>50	0*	>80	0*

*These bridges are not eligible for funds from the Local Bridge Program.

APPENDIX C

GROUP III AND GROUP IV PROGRAM SCORING MATRICES

<u>FUNCTIONAL CLASSIFICATION</u>	<u>POINTS</u>
Arterial	
Major	25
Minor	20
Collector	
Major	15
Minor	
Urban	10
Rural	0*
Local Road (rural or urban)	0*

* Projects on these roads are not eligible for funds from these programs.

ECONOMIC DEVELOPMENT

Creation of Jobs (New or Expansion of existing)*

>1,000	15
500—999	10
250—499	7
100—249	5
50—99	3
10—49	1

*New or expanded non-retail facilities, such as manufacturing, distribution centers, processing plants, etc. INDOT will contact the Indiana Economic Development Corporation to verify or revise the score for “economic development.”

SAFETY

<u>Fatality Rate**</u>	<u>Points</u>
> 3.25	6
2.25—3.25	4
1.25—2.24	2

**Fatalities per 100 million vehicle miles of travel for the section of road. Use the most recent 3 years of data to make this calculation.

<u>Accident Rate***</u>	<u>Points</u>
> 80	4
60—80	3
30—59.9	2
15—29.9	1

***The number of accidents per mile along a section of road. Use the most recent 3 years of data to calculate the accident rate.

DISTRICT EVALUATION (maximum 50 points)

Criteria to be considered by the districts may include:

1. Past performance of the LPA
2. The design year AADT and ADTT of the road
3. The number of other projects and federal funds awarded to the LPA
4. Connectivity with other projects
5. Planning support
6. Social issues
7. Predicted accident rate of railroad crossing
8. Pavement condition
9. Local funding participation, above the 20% match
10. Ability of the LPA to fund the project, in addition to the others it already has

APPENDIX D
INDOT DISTRICT CONTACTS

<u>District</u>	<u>Deputy Commissioner</u>	<u>Telephone</u>
Crawfordsville	Alan Plunkett	(765) 361-5201
Fort Wayne	Robert Alderman	(260) 969-8202
Greenfield	Brandye Hendrickson	(317) 467-3434
La Porte	Mike Monahan	(219) 325-7535
Seymour	Bob Williams	(812) 524-3702
Vincennes	Samuel Sarvis	(812) 895-7301

<u>District</u>	<u>Local Programs Coordinator</u>	<u>Telephone</u>
Crawfordsville	Joe Spear	(765) 361-5228
Fort Wayne	David Armstrong	(260) 969-8277
Greenfield	David Cox	(317) 467-3909
La Porte	Marcia Blansett	(219) 325-7564
Seymour	Brandi Fischvogt	(812) 522-5649
Vincennes	John Myers	(812) 895-7379